

1967

FPMR 101-11.410-2

JUNE 1967

FEDERAL RECORDS CENTERS



A GSA HANDBOOK

GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE
OFFICE OF FEDERAL RECORDS CENTERS
WASHINGTON, D.C. 20408

Federal Stock Number

RECORDS MANAGEMENT HANDBOOKS are developed by the National Archives and Records Service as technical guides to reducing and simplifying paperwork.

RECORDS MANAGEMENT HANDBOOKS:

Managing correspondence: <i>Plain Letters</i>	1955	47 p.
Managing correspondence: <i>Form Letters</i>	1954	33 p.
Managing correspondence: <i>Guide Letters</i>	1955	23 p.
Managing forms: <i>Forms Analysis</i>	1960	62 p.
Managing forms: <i>Forms Design</i>	1960	89 p.
Managing mail: <i>Agency Mail Operations</i>	1957	47 p.
Managing current files: <i>Files Operations</i>	1964	76 p.
Managing current files: <i>File Stations</i>	1966	39 p.
Managing current files: <i>Subject Filing</i>	1966	40 p.
Managing current files: <i>Protecting Vital Operating Records</i>	1958	19 p.
Managing noncurrent files: <i>Applying Records Schedules</i>	1961	23 p.
Managing noncurrent files: <i>Federal Records Centers</i> ..	1967	39 p.
Mechanizing paperwork: <i>Source Data Automation</i> ..	1965	78 p.
Mechanizing paperwork: <i>Source Data Automation Equipment Guide</i>	1962	120 p.
Mechanizing paperwork: <i>Source Data Automation Systems</i>	1963	183 p.
General: <i>Bibliography for Records Managers</i>	1965	58 p.

FOREWORD

The General Services Administration operates a system of Federal Records Centers for the economical storage and servicing of records for Federal agencies, pending their deposit in the National Archives of the United States or other disposition authorized by law. This Government-wide program is authorized by Section 505(d) of the Federal Property and Administrative Services Act of 1949, as amended (44 U. S. C. 396).

These centers now store and service approximately one-third of all Federal records. Each year about 750,000 cubic feet of records are transferred to the centers while about 600,000 cubic feet are destroyed. Agencies are encouraged to accelerate transfers to such centers so that at least one-half of the total volume of Federal records will be maintained in low-cost storage space and file equipment on a continuing basis.

This handbook is issued to assist agencies in achieving optimum use of the Federal Records Centers, which are located in selected cities in the United States. It provides information about retiring agency records to these centers, using them while in center custody, and disposing of them ultimately. Essential illustrations and explanations of the services available are included.

FEDERAL RECORDS CENTERS

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CHAPTER 1. WHY THE GOVERNMENT HAS RECORDS CENTERS

1. Federal records. The Federal Government creates records at the rate of approximately 4.5 million cubic feet annually, enough to fill 600,000 correspondence file cabinets. The total files accumulation now exceeds 25.7 million cubic feet.
2. Agency records programs. To handle such files economically and efficiently, agencies are required to establish and maintain records management programs which provide for controlling their creation, organization, maintenance, use and disposition. The legal basis for such programs is set forth in Section 506(b) of the Federal Property and Administrative Services Act of 1949, as amended (44 U. S. C. 396). Regulations pertaining to agency records management programs are issued in Federal Property Management Regulations (41 CFR 101-11).
3. Noncurrent files. One of the major program objectives is to keep non-current records moving out of high-cost space and filing equipment into low-cost records centers as rapidly as practical. Experience in a growing number of agencies proves that at least one-half of an agency's records can be moved to low-cost centers under a continuing and effective transfer program. An agency can reach this goal, with the resultant savings, by transferring an average of about 10 percent of its records each year. Only current files should be kept in prime space and equipment.
4. Savings from transferred records. As shown in figure 1-4, files can be kept in low-cost records centers at an average annual savings to the Government in space and equipment cost of about \$4.14 for each cubic foot of records transferred. This savings is possible because:
 - a. Center storage space costs less. (Compare: \$3.76 a cubic foot average cost for agency space with 20 cents a cubic foot for center space.)
 - b. Center storage equipment costs less. (Compare: \$50 for an agency filing cabinet with \$6.00 for shelving plus 75 cents for cardboard containers.)
 - c. Center space is better utilized. (Compare: Approximately 5 cubic feet of records stored for each square foot of center-type space with approximately 1 cubic foot for each square foot in agency offices.)
5. Federal records centers. To help achieve such savings, the General Services Administration, through its National Archives and Records Service, operates a system of Federal Records Centers for storage and servicing of general program records of the Federal agencies, including an underground depository for maintenance of agencies' rights and interests and other vital records. The system includes a National Personnel Records Center in St. Louis, Missouri, essentially for records of separated military and civilian personnel, and a Washington National Records Center essentially for records of the seat of Government. All Federal agencies are legally authorized and urged to transfer their noncurrent records to

How Records Centers Save Money

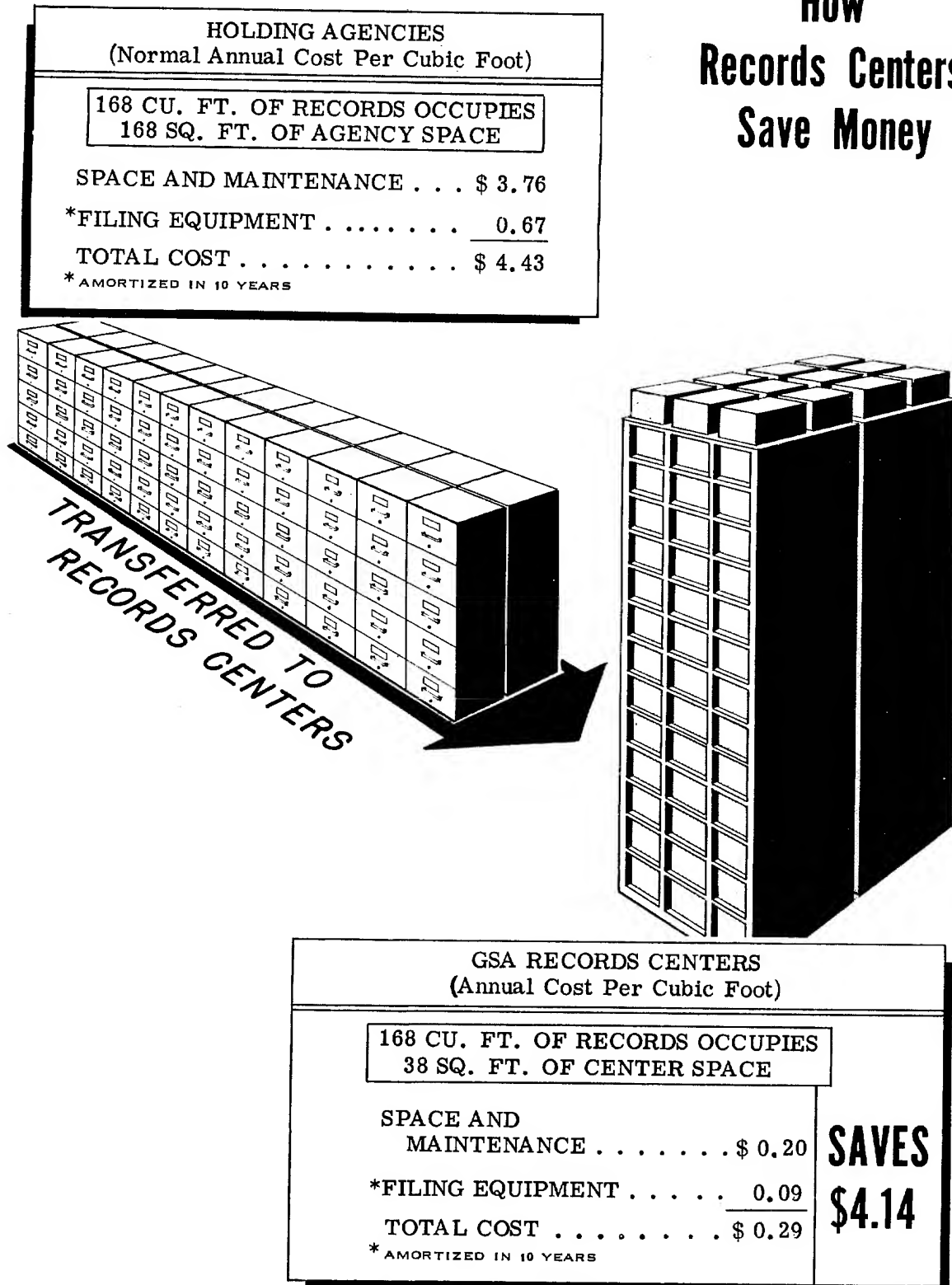


Figure 1-4. How Centers Save Money



Figure 1-5. Records Stored on Conventional Steel Shelving
(Part 1 of 2)

these facilities. Typical exterior and interior views of Federal records centers are shown in figure 1-5. Services available to the agencies, and how to obtain them, are explained and illustrated in the following chapters. Services specifically provided by the National Personnel Records Center are described in chapter 9.

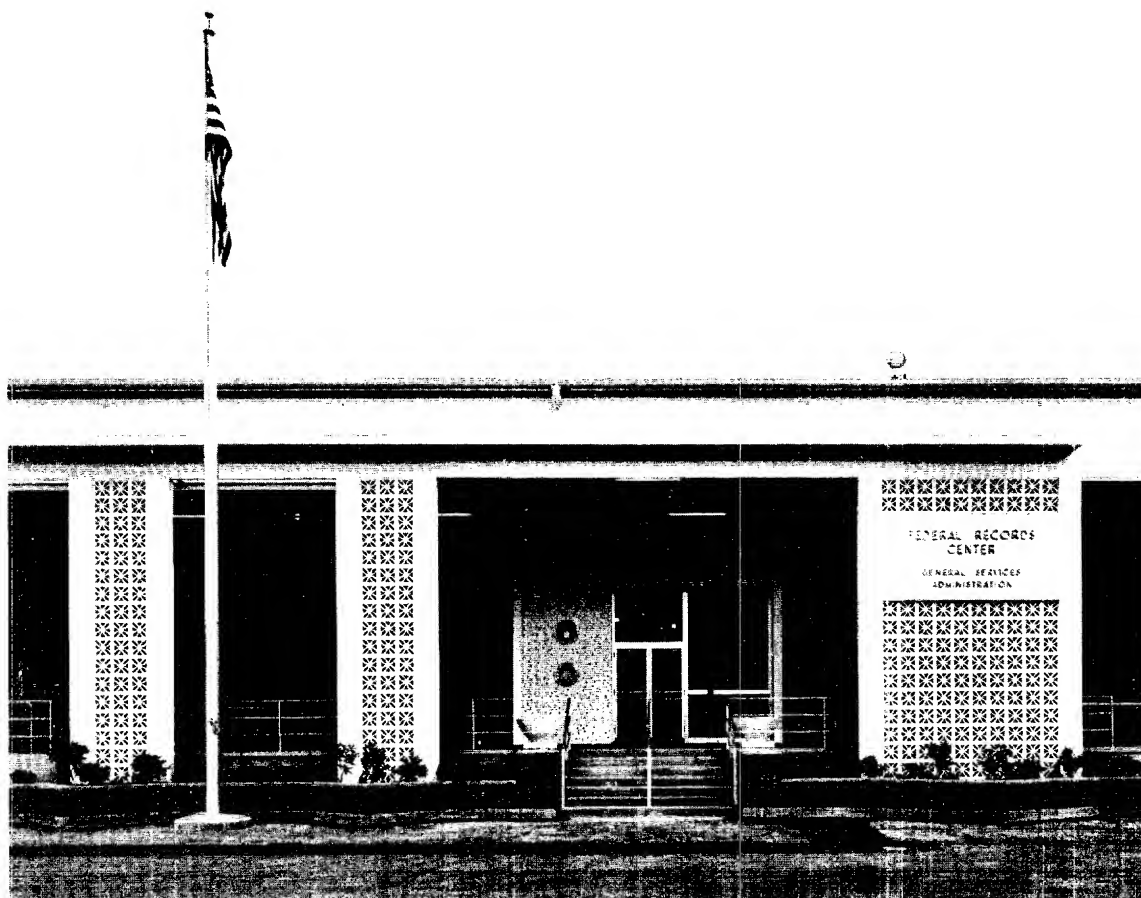


Figure 1-5. Exterior view of a Federal Records Center (Part 2 of 2)

CHAPTER 2. SELECTING FILES FOR TRANSFER

1. Records disposition instructions. If the records of an agency are completely covered either by its own records disposition schedules or by agency adoption of GSA's General Records Schedules, there is no real problem in deciding which files should be transferred to a Federal Records Center. These schedules specify which files to transfer and when to transfer them. In an agency which has no specific records retirement instructions, the selection of files for transfer to a center normally is based on three considerations:

- a. How often agency personnel actually need to refer to them;
- b. How much longer they must be kept before being destroyed; and
- c. How much it will cost to transfer them to a center. Normally files with a retention period of three years or less remaining should not be transferred unless the transfer cost is considerably less than the resultant savings from the space and equipment cleared.

2. Records transfer rule. Noncurrent records which cannot be stored more economically on agency premises should be transferred to a Federal Records Center. A criterion has been developed which indicates that files referred to not more than once a month per file drawer should be transferred, provided the transfer costs (transportation and agency preparation) would not completely offset space and filing equipment savings. Actually, records referred to much more often are accepted provided their transfer is economically worthwhile. Files meeting such tests usually should be transferred to a center:

- a. Regardless of how urgent the need for the infrequent references; and
- b. Regardless of how important or how highly security-classified the records or how extensive the restrictions on their use.

3. File breaks. Files should be terminated or cut-off periodically so as to make their transfer and disposal in uniform chronological blocks as easy as practical. This technique is called "breaking" files, and simply means that on a given date a new set of files is established for a subsequent period. Files can be "broken" annually, biennially, or longer period, depending on the rate at which they accumulate. Small quantities of records (less than one cubic foot) should not normally be retired as a transfer action. They should be retained at the agency until at least one cubic foot accumulates, or until the retention period expires. Different colored labels may be used on folder tabs for records which accumulate in large annual blocks to distinguish one time period from another.

4. Completed case files. Closed-out files are seldom referred to more than once a month per file drawer. Case files are usually closed-out when a given event occurs; e.g., an employee separates from the Government, a claim is

settled, a purchase order is paid. Voluminous case files should be transferred to a center as quickly as practicable to achieve optimum savings.

5. Advice and assistance on transfers. Each agency has records officers who are available to inspect files and advise on questions of records transfers. Advice and assistance on transfer problems may also be obtained from Regional Offices of the National Archives and Records Service or from the nearest Federal Records Center.

CHAPTER 3. INITIATING THE RECORDS TRANSFER REQUEST

1. Local records transfer. To initiate a transfer of files to a Federal Records Center all an agency official normally needs to do is inform his records management officer. In the absence of a previous transfer agreement, as reflected in the agency's records disposition schedules, either the records management officer or the agency official may make the transfer arrangements by telephoning or writing the Center Manager in the GSA Region in which the records are located. Requests should specify the nature and quantity of the records proposed for transfer. Figure 3-1.1 shows the 10 regions in which the General Services Administration operates Federal Records Centers. Figure 3-1.2 shows the mailing addresses of the centers and the areas they serve.

2. Nationwide records transfers. On the other hand, if an agency wishes to transfer records from its central office or from its field offices on a nationwide basis to one or more selected centers, its records management officer should contact the General Services Administration, National Archives and Records Service, Office of Federal Records Centers, Washington, D. C. 20408. Requests should specify the nature and quantity of records proposed for transfer.

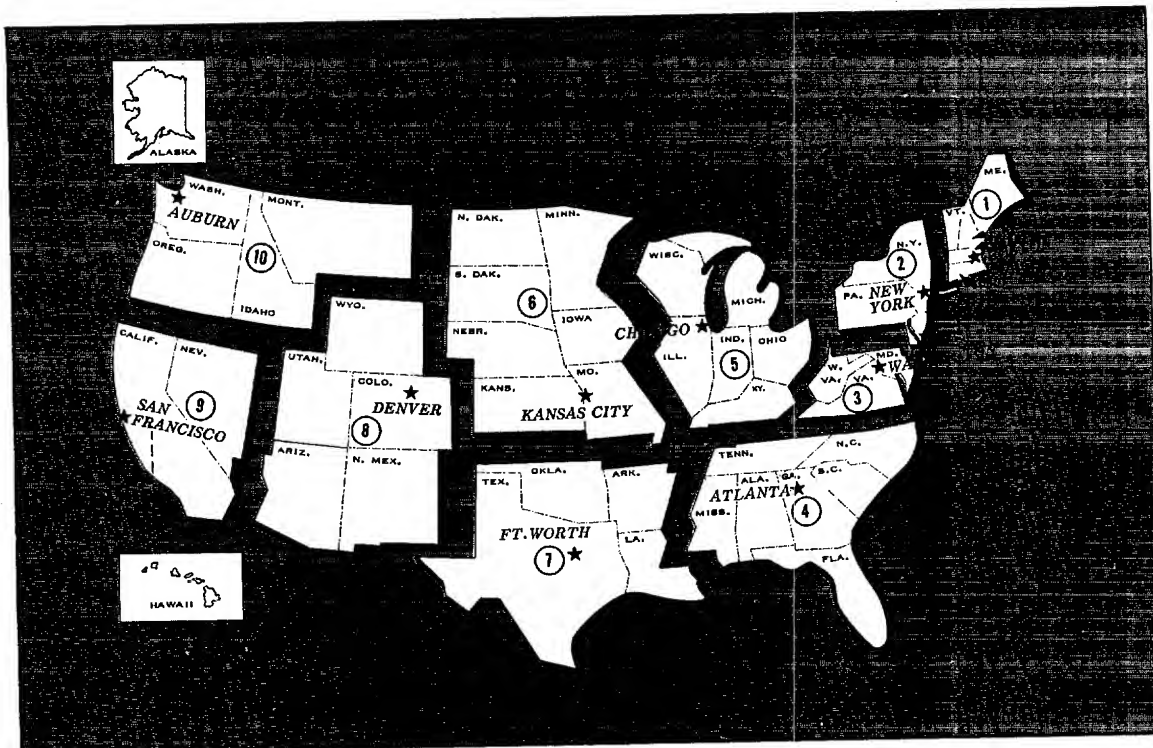


Figure 3-1.1. Regions of the General Services Administration

FEDERAL RECORDS CENTERS		
GSA Region	Areas Served	Mailing Addresses
	Designated records of the Military Departments and the U.S. Coast Guard	National Personnel Records Center, GSA (Military Personnel Records) 9700 Page Boulevard St. Louis, Mo. 63132
	Entire Federal Government (for personnel and pay records of separated Civilian employees; other designated records).	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, Mo. 63118
1-----	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.	Federal Records Center, GSA 380 Trapelo Road Waltham, Massachusetts 02154
2-----	New York, New Jersey except areas south of Trenton, Puerto Rico, and the Virgin Islands. New Jersey south of Trenton, Delaware and Pennsylvania east of Lancaster. Pennsylvania except areas of Lancaster.	Federal Records Center, GSA 641 Washington St. New York, N. Y. 10014 Federal Records Center, GSA 5000 Wissahickon Avenue Philadelphia, Pennsylvania 19144 Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, Pennsylvania 17055 Washington National Records Center General Services Administration Washington D.C. 20409
3-----	District of Columbia, Maryland, West Virginia, and Virginia.	Federal Records Center, GSA 1557 St. Joseph Avenue East Point, Georgia 30044
4-----	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, and Florida.	Federal Records Center, GSA 7201 South Leamington Avenue Chicago, Illinois 60638
5-----	Kentucky, Illinois, Wisconsin, Michigan, Indiana, and Ohio.	Federal Records Center, GSA 2306 East Bannister Rd. Kansas City, Mo. 64131
6-----	Kansas, Iowa, Nebraska, North Dakota, South Dakota, Minnesota, and Missouri except greater St. Louis area. Greater St. Louis area (Missouri only).	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago Street St. Louis, Mo. 63118
7-----	Texas, Oklahoma, Arkansas, and Louisiana.	Federal Records Center, GSA 4900 Hemphill Street Post Office Box 6216 Fort Worth, Texas 76115
8-----	Colorado, Wyoming, Utah, Arizona, and New Mexico.	Federal Records Center, GSA Building 48, Denver Federal Center Denver, Colorado 80225
9-----	Nevada except Clark County, California except Southern California, and Pacific Ocean areas. Clark County, Nevada, and Southern California (Counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, San Diego).	Federal Records Center, GSA Building 1, 100 Harrison St. San Francisco, California 94105 Federal Records Center, GSA 4747 Eastern Avenue Bell, California 90201
10-----	Washington, Oregon, Idaho, Montana, and Alaska.	Federal Records Center, GSA 6125 Sand Point Way Seattle, Washington 98115

Figure 3-1.2. Areas Served by Federal Records Centers

3. Records transfer conditions. Federal Records Centers will accept any records of the Federal government offered by agencies, subject to the following conditions:

a. That the records have a retention period of more than three years remaining;

b. That transportation and agency preparation costs are not in excess of the resulting space and file equipment savings; and

c. That facilities and personnel for storing and providing reference service on the records are available.

4. Records transfer priorities. Priority should be given to the removal of records from office space, from space convertible to office use, from leased space, and from filing equipment which can be re-used.

CHAPTER 4. GETTING FILES READY FOR SHIPMENT

1. Records shipping cartons. Standard cardboard containers are available to transfer files to the Federal Records Centers. Use of these cartons is restricted to transferring records to Federal Records Centers. Unless an agency is being liquidated or urgently requires immediate removal of its records, it should ship them in these special containers rather than in filing cabinets or similar equipment. Certain agencies have been authorized to use their own cartons, however, when the size is compatible to storage on center shelving. A standard container has inside dimensions of 10 by 12 by 15 inches and holds 1 cubic foot of either letter or legal size records. Thus, a carton is needed for each cubic foot of files being transferred. A good rule for estimating the total number of cubic feet of records being transferred is this:

- a. Count each full letter-size file drawer as 1-1/2 cubic feet of records; and
- b. Count each full legal-size file drawer as 2 cubic feet of records.

2. Obtaining cartons. Standard cartons may be obtained either by request from the nearest Federal Records Center or by requisition from the nearest regional depot of the Federal Supply Service (Federal Stock No. 8115-290-3379). The boxes cost about 10 cents apiece, but centers usually furnish (ship) them to agencies without charge. Requests for boxes should be made far enough in advance to be sure they are on hand when packing begins. A special "tuck bottom" carton (Federal Stock No. 7610-298-6904), having the same inside dimensions as the standard carton, is also available to agencies within GSA Region 3 from the Washington National Records Center (see figure 4-2). When an agency and a records center are located in the same metropolitan area, the standard cartons may be delivered already assembled, with bottoms stapled. Otherwise, they are shipped or delivered unassembled. The "tuck bottom" boxes are always shipped or delivered unassembled.

3. Assembling cartons. The bottom of cartons should be secured either by masking tape at least 2 inches wide or by machine-applied wire stitching. The tape should be placed lengthwise on the outside, after the flaps on both ends of the cartons have been folded inside (see figure 4-3). The tape should extend at least 2 inches up the ends of the boxes for extra strength. The "tuck bottom" boxes do not require stitching or taping of bottoms.

4. Screening disposable material. Before putting files in cartons, it is advisable to screen-out all unnecessary nonrecord material and all records authorized for destruction. Screening usually results in a cost savings and should be omitted only:

- a. If the need for the agency space occupied by the records is urgent;
- b. If the agency office is being liquidated immediately; or
- c. If the costs of screening outweigh the savings.

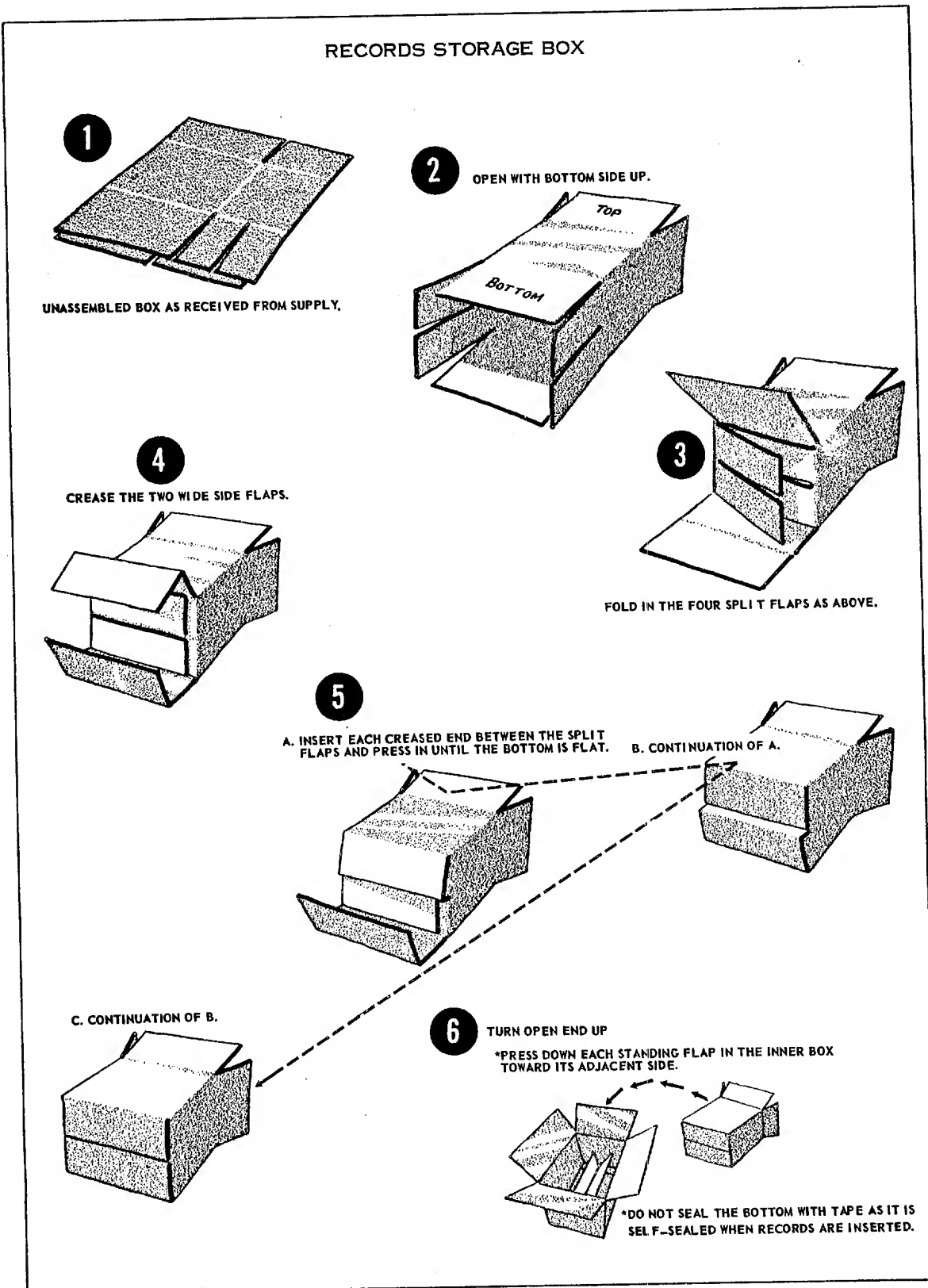


Figure 4-2. Assembling "tuck bottom" Cartons

5. Downgrading classified records. In addition to screening before packing, an agency should declassify or downgrade security-classified records whenever such action is warranted by changed circumstances, lapse of time, or other conditions affecting the classification. Centers should be especially advised of any classified records being transferred which are covered by automatic time-phased downgrading and declassification provisions.
6. Packing records. Without disturbing the existing filing arrangement, pack the records firmly in the box. Do not force them. To make future reference easier, they should not be packed so tight as to hinder withdrawal. Do not place file folders on top of file folders within the box. Place the file folders in an upright position, with letter-size folders across the 12-inch way, facing the front of the container (the unstitched 12-inch side of the container is considered the front) or with legal-size folders across the 15-inch way, facing the left side of the container. The labels on either the 12-inch or the 15-inch folders can then be read easily from the front of the container. Space should be allowed within the cartons for subsequent interfiles if such additions are contemplated. Insofar as is practical, records with widely different retention periods should not be placed in the same carton. In no event should permanent records be placed in the same box with temporary records. Records from more than one bureau or office should not be packed in the same carton, nor should GAO site-audited records be mixed with agency records.
7. Numbering cartons. Boxes should be numbered consecutively in heavy black crayon or its equivalent, starting with No. 1 for each transfer. Write the number on the unstitched front of the box in the upper left hand corner, reserving the lower right hand corner for the Records Center to enter the FRC box number. Center personnel will assign a separate accession number to each transfer after the records are received. In GSA Region 3, agency personnel should obtain in advance an accession number for each transfer so that this number can be entered by them on the transfer forms and the boxes or other items to be transferred.
8. Labeling cartons. Use of container labels showing the contents of each box is optional with the agency. It is usually best for the content-description of each carton to be recorded on standard forms (SF 135 or SF 135A) described in chapter 5, particularly in the case of subject or miscellaneous files. Labels are useful at a center, however, if the files are arranged by name or numerical sequence and the shipment is very large. In these cases content information showing first and last folder in each carton should be shown on the front of the cartons themselves. If labels are not readily available, this information may be printed on the cartons.
9. Finding aids. The records should be accompanied, where possible, by any relevant finding aids, such as indexes. Indexes may be retained at the agency, however, if files are quite active. The center should be notified of any finding aids retained by the agency.
10. Closing cartons. To close the top of the cartons, simply tuck the flaps alternately over and under each other when records are to be picked up by government truck. When shipping commercially the tops must be securely taped.

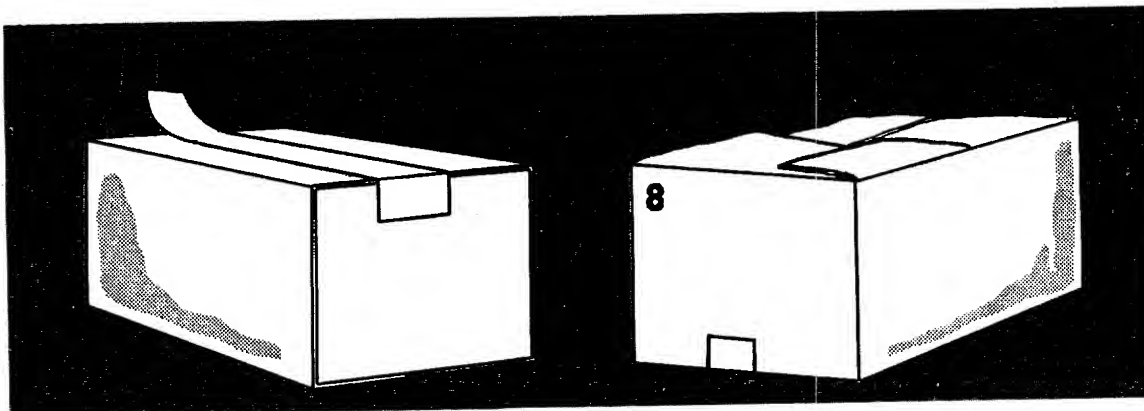


Figure 4-3. Closing and Sealing the Cartons

11. Reinforcing cartons. If the cartons of records are to be shipped to the records center by freight, express, or parcel post, it may be desirable to reinforce them. As a general rule, cartons should be reinforced if they are to be handled more than four times during shipment, as may happen in freight shipments of less than carload lot. Two methods of reinforcement are equally satisfactory.

a. The easy reinforcement method is to tape with masking tape all corners and edges of the boxes, top and bottom, thoroughly and skillfully. Care should be taken that tape does not cover labels or other identifying data on the cartons. In this way it is possible to secure all points where the box may come apart if mishandled during shipment.

b. A second method is to place a cardboard liner inside the box before it is packed. By this method the sides of the box may be lined and the bottom and top padded with cardboard. Liners cost about 3 cents each; pads about a penny apiece. (Federal Stock Nos. 8135-290-1392 and 8135-290-3405, respectively). These may be requisitioned from the nearest depot of the Federal Supply Service. Records Centers do not furnish liners.

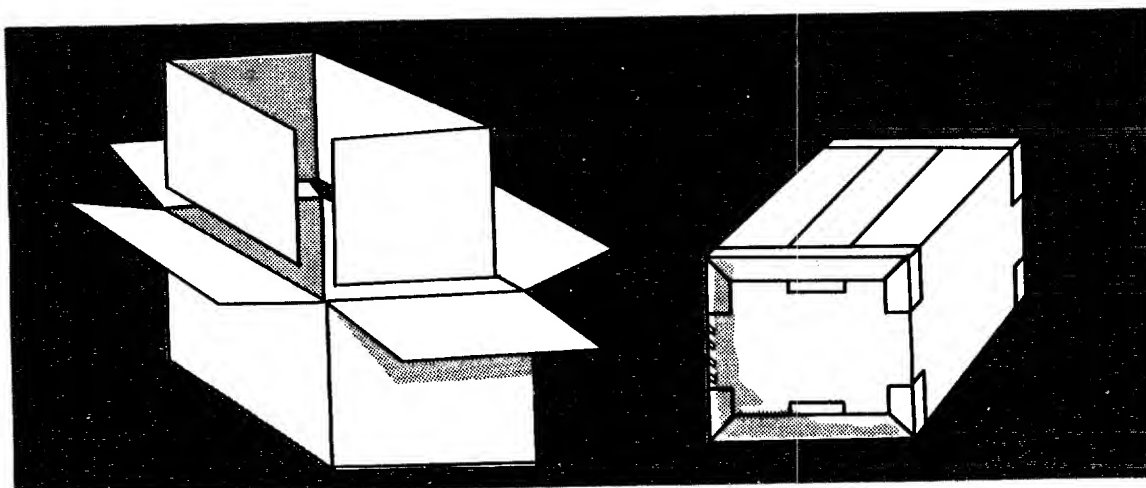


Figure 4-11. Reinforcing the Cartons

12. Packing oversize records. Oversize records, such as bound ledgers and similar volumes, which will not fit into standard containers, should be tied in bundles with sturdy cord. Identification tags should be attached. Each bundle should be handled just as another box in the numbering sequence. The number should be written on the tag, along with any other necessary descriptive data. Just as in the case of cartons, bundles shipped out of the area should be prepared with extra care to protect them against rough handling. Large drawings may be rolled in brown wrapping paper, taped and labeled. Centers may be consulted about packing records that will not fit into standard containers.

13. Packing undersize records. Small records should be shipped in half-size cartons, also available at no cost from the Federal Records Centers. These measure about 15" long, 10" wide and 5" deep inside and hold about one-half cubic foot of records each. Undersize records, such as index cards, may be packed in the cartons in small to medium length lots and bound with heavy cord or separated with cardboard pads between rows. Care should be taken to maintain the original file arrangement. Punched cards should be transferred in the cartons in which they were received from the manufacturer.

14. Filing cabinets. As previously indicated, records should be transferred to centers in filing cabinets or similar equipment in exceptional cases only. Center approval should be obtained in advance in such event. In preparing records for shipment in filing cabinets, press the compressing device inside each drawer tightly against the records. Then secure the drawers by ropes or metal bands regardless of whether they have locking devices. Finally, number the cabinets in consecutive order, according to the file arrangement of their contents.

CHAPTER 5. PREPARING RECORDS TRANSFER FORMS

1. Purpose of forms. The transfer of records to a Federal Records Center normally requires completion of a Standard Form 135, Records Transmittal and Receipt. If needed, however, Standard Form 135A (Continuation) is also used. These forms, figures 5-1.1 and 5-1.2, serve:
 - a. To record the transfer of custody of the files to the Federal Records Centers subject to any legally binding restrictions on their use which an agency may impose, and
 - b. To provide an inventory sufficiently detailed to aid the centers in providing any future reference service.
2. Availability and distribution. Copies of the standard transfer forms should be obtained from the agency's usual source of standard forms. If not readily available from that source, they may be obtained at no cost from the nearest Federal Records Center. An original and two copies of completed forms should be forwarded, usually in advance of shipment, to the center to which the records are being transferred. One copy, signed by a center official, is returned to the transferring agency. This copy is the agency's receipt. It provides accession and FRC container numbers to be used by the agency when making future reference to the records.
3. Site-audited records. When General Accounting Office site-audit records are being transferred, an additional copy of the transfer forms should be forwarded to the Federal Records Center, which will receipt it and forward it directly to the Records Management and Services Branch, Office of Administrative Services, U. S. General Accounting Office, Washington, D. C. 20548. Site-audit records should be described on separate transfer forms and should bear Record Group number 217.
4. Preparation in agency. It is usually better for agency officials to fill out the transfer forms, although when center personnel pack the records the forms may be prepared by the center personnel. This documentation should be prepared carefully and in detail. In describing the records, use any special terminology which will make the transfer documents as meaningful as possible for serving future reference needs of the agency.
5. Self-explanatory items. Most of the items on Standard Form 135 are self-explanatory, but a few require some explanation. The accession number and the record group number, which distinguishes the records of one agency or bureau from all others, are filled in by the center.
6. Restrictions on use of records. Particular attention should be given to item 1. The specific restriction or security classification an agency imposes on transferred records should rest on legal considerations or considerations of the public interest. Documents should be declassified or downgraded to the greatest

STANDARD FORM 135 JULY 1961 EDITION GENERAL SERVICES ADMIN. FPMR (41 CFR) 101-11.4		RECORDS TRANSMITTAL AND RECEIPT		TO BE COMPLETED AT FEDERAL RECORDS CENTER																																																									
INSTRUCTIONS Send original and two copies to appropriate Federal Records Center.		ACCESSION NO.		RECORD GROUP NO.																																																									
FROM: (Name and address of Agency transferring records) Bureau of Special Revenue Special Revenue Building Washington, D.C. 20408		SIGNATURE		DATE RECORDS RECEIVED																																																									
		TITLE																																																											
		TO: Washington National Records Center General Services Administration Washington, D.C. 20409		1/ (mailing address)																																																									
1. CITE SECURITY CLASSIFICATION AND/OR RESTRICTION ON USE OF RECORDS, IF ANY <u>Restricted to Official Use of Employees of the Bureau of Special Revenue</u>																																																													
2. SQUARE FEET OF SPACE CLEARED		3. FILING EQUIPMENT EMPTIED																																																											
A. OFFICE 75	B. STORAGE -	A. FILE CABINETS (No.) 10	B. TRANS. FILES (No.) -	C. SHELVEING (Ltn. Ft.) -	4. CUBIC FEET OF RECORDS TRANSFERRED 75																																																								
5. NAME OF AGENCY CUSTODIAN OF RECORDS Mr. James Smith		6. BUILDING AND ROOM NO. SR Building, Room 1163		7. TELEPHONE NO. Code 165-8765																																																									
8. MAY THE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER AGENCY CONCURRENCE? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO		9. AGENCY OFFICIAL (Signature) J. S. Smithson /S/		10. TITLE Administrative Officer																																																									
11. DATE 1-8-67		12. DISPOSITION AUTHORITY (Schedule and Item No.)																																																											
13. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES (Show organizational component creating records)		14. DISPOSITION AUTHORITY (Schedule and Item No.)																																																											
<p>This transfer comprises the merged files of the former Sales Tax Division (1955-1958) and the former Miscellaneous Tax Division (1959-1962). These two divisions were abolished in the Bureau reorganization of January 1963. The functions of the divisions were assigned in part to the regional offices and in part to the new Excise Tax Ruling Office of the Bureau of Special Revenue.</p> <table border="1"> <thead> <tr> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> <th>6</th> <th>7</th> </tr> </thead> <tbody> <tr> <td>Administrative Issuances to Regional Offices on Tax Matters</td> <td>1955-1962</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Tax Information Service Provided to the Public</td> <td>1955-1962</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Policy Interpretations on Taxable Transactions Provided Regions</td> <td>1955</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Policy Interpretations on Taxable Transactions Provided Regions</td> <td>1956</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Policy Interpretations on Taxable Transactions Provided Regions</td> <td>1957</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Policy Interpretations on Taxable Transactions Provided Regions</td> <td>1958</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Policy Interpretations on Taxable Transactions Provided Regions</td> <td>1959</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		1	2	3	4	5	6	7	Administrative Issuances to Regional Offices on Tax Matters	1955-1962						Tax Information Service Provided to the Public	1955-1962						Policy Interpretations on Taxable Transactions Provided Regions	1955						Policy Interpretations on Taxable Transactions Provided Regions	1956						Policy Interpretations on Taxable Transactions Provided Regions	1957						Policy Interpretations on Taxable Transactions Provided Regions	1958						Policy Interpretations on Taxable Transactions Provided Regions	1959						BSR Schedule, No.27 Item 2 Item 4 Item 5 Item 5 Item 5 Item 5			
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STANDARD FORM 135
JULY 1961 EDITION

(Use Standard Form 135A for continuation sheets)

* U.S. GOVERNMENT PRINTING OFFICE : 1967 O-255-153 (73-0)

135-105

Figure 5-1.1. Records Transmittal and Receipt, SF 135

STANDARD FORM 135-A JULY 1961 EDITION GENERAL SERVICES ADMIN. FPMR (41 CFR) 101-11.4		RECORDS TRANSMITTAL AND RECEIPT (CONTINUATION)	AGENCY Bureau of Special Revenue Washington, D.C. 20408	DATE 1-8-67
BOX NUMBERS		DESCRIPTION OF RECORDS WITH INCLUSIVE DATES		DISPOSAL AUTHORITY
FRC ONLY	AGENCY			
	8	Policy Interpretations on Taxable Transactions Provided Regions	1960	Item 5
	9	Policy Interpretations on Taxable Transactions Provided Regions	1961	Item 5
	10	Policy Interpretations on Taxable Transactions Provided Regions	1962	Item 5
	11-30	Tax Ruling Case Files on Individuals (A-Z)	1960	Item 8
	31-50	Tax Ruling Case Files on Individuals (A-Z)	1961	Item 8
	51-70	Tax Ruling Case Files on Individuals (A-Z)	1962	Item 8
	71	Correspondence on Tax Regulations	1955-1962	Item 12
	72	Correspondence on Tax Collection	1955-1962	Item 13
	73	Regional Administrative Correspondence	1955-1962	Item 15
	74	Statistical Tax Reports From Regional Offices	1955-1962	Item 19
	75	Closed claims by taxpayers for credits against future tax obligations arising out of rulings favor- able to individuals and business (A-Z)	1955-1962	Item 25
<p><u>1</u> / Shipments by common carrier (not through postal channels) should show the address of the Center as follows:</p> <p style="text-align: center;">Washington National Records Center General Services Administration 4205 Suitland Road Suitland, Maryland</p>				

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JULY 1961 EDITION

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135-201

Figure 5-1.2. Records Transmittal and Receipt (Continuation), FS 135A

extent possible before transferring them to a Federal Records Center. If the records are restricted to official use of the transferring agency this item should so indicate. All restrictions dealing with access to records will be rigidly enforced.

7. Disposition authority. To enable the center to make proper and economical disposition of transferred records, agencies should specifically indicate which records are scheduled for disposal. Even though such schedules authorize destruction of the records at the end of a specified time or following a certain event, centers will normally obtain agency concurrence just before they destroy the records. To avoid subsequent paperwork and repetitive actions, agencies may grant prior destruction approval by checking "yes" in item 8 on Standard Form 135.

8. Purpose of records description. The description of records being transferred should provide enough information:

- a. To identify them clearly;
- b. To enable the center to provide prompt and efficient reference service;
- c. To facilitate application of disposal schedules; and
- d. To enable the center, in cooperation with the agency concerned, to prepare disposal authority covering any records not covered by agency or general records schedules.

9. Records description in general. Preceding the detailed description there should normally be a statement describing the records in general (see figure 5-1). Its content does not matter as long as its coverage is adequate. The description should serve to identify the records being transferred, and should provide information on:

- a. Their general description and inclusive dates;
- b. Their administrative origins, including past organizational changes when significant and relevant;
- c. Their relationship to the program activities of the organization creating or using them, and the purpose for which they were created and may or do serve; and
- d. Their significant relationships to other records, including duplicates.

10. Records series description. The general statement should be followed by a precise description of the individual records series. For each series the title and the inclusive dates should be given. If the description title is not self-explanatory additional information should be included.

11. Records series definition. A records series consists of documents, volumes, or folders of records that are arranged under a single filing system or are kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form. A series may consist of a single

folder of records or of hundreds of feet of files; volume is not a factor. As a practical matter, a few folders or similar small volumes of records may be lumped together into artificially created series with a general description indicating the nature of the records, but such descriptions are much less useful for servicing records. An index or other finding aid is itself a series and should be carefully described.

12. Records series and carton identification. Each records series needs to be described only once. If a series fills several cartons, a breakdown of the chronological, numerical, or alphabetical coverage of each carton should be given whenever necessary to facilitate future reference service on the records. In such breakdowns, the file designations (filing symbol, name, number, or date) of the first and last folders or documents within each carton are usually sufficient. A folder by folder or file by file coverage of each box is seldom necessary and should not be made unless it would facilitate future reference service. For small series of records (less than one carton each), a carton by carton descriptive list should be prepared. Any evident gaps in the series should be indicated.

13. Files characteristics and arrangement. Information should be included on (a) physical characteristics, e.g., microfilm, magnetic tape, sound recordings, maps, tabulating cards, and (b) internal file organization or arrangement, e.g., alphabetical, numerical, chronological, or other.

14. Security classified records. If records are security-classified the description must include the degree of classification. The transfer forms should not reveal any security-classified information as shown in the records themselves. If the classified materials are not specifically named or described, or if no security-classified information is revealed, the standard forms documenting the transfer do not need to be classified. If actual security-classified information is revealed on the transfer forms themselves, however, the agency must mark the transfer documents involved with the highest security classification required by the information. Security-classified records should not be mixed with unclassified records and should be covered by separate transfer documents. To help minimize the cost of transferring such records, agencies are encouraged to accept receipts from the centers on a box-by-box rather than on a document-by-document basis.

15. Agency container numbers. As has been indicated, cartons should be numbered consecutively to maintain the original file arrangement of the records. Enter these numbers on Standard Form 135 (and SF 135A if used) as shown in figures 5-1.1 and 5-1.2. If a series description applies to the records in several boxes and there is no further box-by-box breakdown, the inclusive box numbers should be entered; for example, 29-41. In this instance it would be helpful to the center to provide future reference service for the agency to label or mark the front of each of the cartons with the inclusive content description. It is essential that the container numbers shown on the standard forms documenting the records transfer correspond exactly with the numbers on the cartons.

16. FRC container numbers. The column on Standard Form 135 (and SF 135A) for entering the FRC box numbers is reserved for records center use and should be left blank. With the exception of the Washington National Records Center, centers will assign and fill in corresponding storage location numbers. These center numbers will be noted on the returned receipt copies of these forms. The

FRC box numbers (and the accession number also recorded on SF 135) should be used by the agency in obtaining future reference service.

17. Records disposal authority. Immediately following the title line of each series the disposal authority, if any, should be indicated by citing the agency records disposal schedule and the item number.

CHAPTER 6. SHIPPING THE RECORDS

1. Means of shipping records. The most economical means available should be used to ship files to Federal Records Centers. If records are to be moved only a short distance, center trucks may be available to pick them up. Agency offices within metropolitan areas in which the centers are located may telephone for such service. Centers should be notified well in advance of such transfers because considerable savings can be realized by scheduling and consolidating pick-ups from the same locality. In any case, if the agency so requests, centers will advise and assist in making the necessary transportation arrangements. When center trucks are not used, shipments are ordinarily made by regular United States mail or by commercial motor or rail freight with costs borne by the transferring agency.

2. Special low shipping rate for "old" records. To get the lowest freight rate for "old" office records, agencies using commercial carriers should enter the following statement on bills of lading or other shipping documents: "The agreed or declared value of this property is hereby specifically stated by the shipper not to exceed 3-1/2 cents per pound." If there is sufficient weight for a carload or truckload, records should be loaded as heavily as possible.

3. Rules for estimating shipments. The following yardsticks may be useful in planning the movement of records:

a. One Center carton holds 1 cubic foot of paper records weighing about 30 pounds average; however, tabulating punch cards weigh in excess of 50 pounds per cubic foot;

b. One ton of records averages 70 cubic feet;

c. One empty filing cabinet weighs approximately 150 pounds if steel, or approximately 105 pounds if wood;

d. One 30-35 foot truck trailer will transport approximately 1,200 cubic feet of records;

e. One cubic foot of records approximates 3,000 letter-size sheets of paper;

f. One cubic foot of records approximates 10,000 tabulating punch cards; and

g. A letter-size file drawer holds 1-1/2 cubic feet of records, while a legal-size drawer holds 2 cubic feet.

4. Loading of records for shipment. Large shipments of records should be loaded into motor or rail conveyances in reverse numerical sequence so that when the shipments reach the centers the first carton off will be number "1" and the others will follow in numerical sequence which means that they can be moved directly to the shelves without being rehandled.

5. Disposition of transferred file equipment. Records received in agency file cabinets, transfer cases, or similar equipment, are normally transferred by center personnel to standard cartons for storage on shelving. The file equipment is then declared excess to the Property Management and Disposal Service of GSA for re-use in other agencies. Accordingly, agencies transferring records in such equipment to the centers should prepare and submit Standard Form 120, Report of Excess Personal Property.

CHAPTER 7. OBTAINING REFERENCE SERVICE

1. Prompt reference service. Agency officials can get quick and reliable reference service on records transferred to Federal Records Centers simply by submitting a request form, memorandum, or letter to the appropriate records center. Only urgent or priority requests should be made by personal visit or telephone or by nonvoice communications systems (e. g. , TWX; ARS). Centers strive to answer each inquiry as quickly as possible, usually within 24 hours of receipt.
2. Services available. Centers provide information from the records, reproductions of them, including authenticated copies, or loan or return of the records themselves. No reference inquiry will be honored, however, if it conflicts with restrictions established by the transferring agency or by law. Centers maintain regional archival collections of primary interest to scholars and other users; these collections are usually created by agencies within the GSA region. Each center has a search room for visitors to consult records or to do scholarly research.
3. Making inquiries. In making reference requests agencies should normally specify:
 - a. The name of the agency and the name and location of the person for whom the request is being made;
 - b. A description of the information and/or records needed;
 - c. The FRC box number in which the records will most probably be found, as shown on the Standard Form 135 or SF 135A returned to the agency as a receipt for the records. The FRC box numbers are the ones assigned by the Center which correspond to the agency box numbers.
 - d. If no corresponding FRC box numbers have been assigned, the accession number of the transfer, as well as the agency box number in which the records will most probably be found, as shown on SF 135 or SF 135A, should be shown.
 - e. If the transferring agency retains its own detailed index of the files transferred, other appropriate information which would aid the center to locate the needed file item(s) should be furnished.
4. Facilitating reference. By furnishing the appropriate Federal Records Center container number (or the accessions number and agency box number), agencies greatly facilitate searching at the centers for needed records or information. This permits center searchers to proceed directly to the carton(s) containing the requested files, without first having to check controls describing the agency records.
5. Reference form available. Agencies are encouraged to make written (in lieu of telephone) requests for reference service from the Federal Records

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GEN. SERVICES ADMIN.
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Centers. It is often to the advantage of an agency to design its own reference service form. Those agencies not wishing to do so, may use Optional Form 11, Request for Service. Supplies of this three-part form (figure 7-5) may be obtained from the source that normally supplies your agency with Standard Forms. Federal Records Centers do not furnish these forms to agencies.

6. Channeling inquiries. Some agencies find it advisable to require all telephone or written requests to be made by, or channeled through, one or more individuals in the agency. The names and telephone numbers of such persons should be given to the center(s) involved.

7. Files transmittal service. Arrangements for the types of files delivery services to be provided for agency offices should be made direct with the centers. Normally, it is more economical for centers to send small quantities of requested files by United States mail, particularly to out-of-town customers. This means is especially applicable when time is not essential and when special security precautions are not needed. Other means are used when it is more economical to do so. For example, within a few metropolitan areas in which the centers are located, center-operated delivery service may be provided. Offices using such service designate a single point of delivery, such as the agency mail room. This center service also picks up mail destined for the center.

8. Access to agency visitors. Messengers sent to a center to pick up requested records, or agency officials who make personal visits to a center for reference service, must always provide:

- a. Identification as agency representative;
- b. Evidence of security clearance, if needed; and
- c. Agency authorization to refer to records if their use is restricted.

9. Furnishing recorded information. If information is sought, rather than copies of records or the records themselves, it is important to remember that Federal Records Centers report findings of information shown in the records. Usually this type of reference service involves less expense and effort on the part of the center and the requesting agency.

10. Reproductions. Reproductions of records can be furnished by the centers only if such reproduction is not contrary to agency restrictions, security requirements, or statutory restrictions. For example, there is a legal prohibition against the reproduction of naturalization papers. Centers will microfilm records for agencies only on a reimbursable basis. Charges also will be made for reproductions involving an excessive expenditure of center resources or unusual technical problems. A request involving more than 10 pages of reproductions may be considered excessive particularly if the agency office concerned has its own facilities. Charges for reproduction and related services performed for the general public are set forth in an established schedule of fees, as authorized by the Bureau of the Budget.

CHAPTER 8. DISPOSAL OF RECORDS IN THE CENTERS

1. Intermediate disposal. The transfer of records to inexpensive storage at Federal Records Centers is not a substitute for disposal. Rather it goes hand in hand with disposal. Generally, records to be retained less than three years should be destroyed from agency space. Experience has shown that centers facilitate disposal of records by closely monitoring this function.

2. Disposal objectives. Most records transferred to Federal Records Centers are scheduled for destruction at predetermined dates. Some are retained because they have permanent value. Disposition activities at the centers have three major objectives:

a. To assist the National Archives in identifying the records of departmental and field activities of Federal agencies which have enduring value;

b. To assist Federal agencies in establishing realistic retention periods for records that do not have enduring value; and

c. To remove from centers all disposable records promptly, always with agency concurrence, regardless of whether record or nonrecord material is involved.

If these objectives are achieved, there will be few records in any center without an established disposal date. Agencies should collaborate with the centers in proposing suitable disposal dates for records in the "indefinite," "retain," or "permanent" categories which are not actually of archival value.

3. Agency concurrence in disposal. Records of a Federal agency will not be destroyed by the centers without the written concurrence of the agency concerned. An agency may waive this requirement in accordance with procedures described in paragraph 6 below.

4. Disposal of nonrecord material. Centers also obtain agency approval for the disposal of nonrecord materials so that there will be no misunderstanding as to the record or nonrecord content of particular files.

5. Concurrence procedure. Before destroying any records, centers prepare and send to the agencies concerned a completed GSA Form 439, Records Disposition Control (See figure 8-5), or an equivalent document requesting concurrence in disposal action. This is done just before the records concerned are eligible for scheduled destruction. The agencies then determine whether unusual circumstances require further retention, or whether the records are active enough from a reference service viewpoint to warrant keeping them longer. The relation between the volume of the records, shown in item 4 of the Form 439, and the numbers of current requests for reference service has a direct bearing on the decision as to whether they should be kept. For example, 6 requests for service in 1 year on 6,000 cubic feet of records, would normally provide little justification for keeping them longer. Since maintenance of records is costly (even in center type space)

and since their value beyond the scheduled destruction period is usually potential only, a calculated risk in their disposal should be taken. All or segments of them actually needed for pending or potential law suits or other reason should be retained however. If the agency approves the disposition, the GSA Form 439 should be signed by an agency official and returned to the center as authority for destruction action. Agencies should respond promptly to these requests for concurrence to permit clearance of center space and equipment for re-use. They should also advise the centers in writing of any reasons for refusal to concur in the proposed disposal action.

6. Waiver of disposal concurrence. If it wants to do so, an agency may waive the submission of GSA Form 439 by granting prior approval for the disposal of eligible records. Such waivers must be in writing. They may be given for specific series of records on a continuing basis or they may be noted on Item 8 of Standard Form 135 for individual shipments at the time of transfer.

1 (a) RECORDS OF		2. SCHEDULED DISPOSITION	3. RECORD GROUP NO.	4. VOLUME (Cm. Ft.)
1 (b) MAJOR SUBDIVISION			5. ACCESSION NO.	6. DISPOSITION JOB NO.
1 (c) MINOR SUBDIVISION			7. FRC CONTAINER NOS.	
8. INCLUSIVE DATES		9. CURRENT REFERENCE REQUEST? <input type="checkbox"/> NO <input type="checkbox"/> YES (Explain on reverse)		
10. BRIEF DESCRIPTION OF RECORDS				
11. AUTHORIZATION FOR DISPOSITION			12. METHOD OF DISPOSITION <input type="checkbox"/> BURNING <input type="checkbox"/> TRANSFERRED TO _____ <input type="checkbox"/> SALE AS WASTE PAPER <input type="checkbox"/> OTHER (Explain on reverse)	
13. DISPOSITION APPROVED BY (Agency)		DATE	14. DISPOSITION ACCOMPLISHED BY (Center)	
			DATE	
GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE			RECORDS DISPOSITION CONTROL	
			GSA FORM FEB 67 439 GSA DC 67-12280	

Figure 8-5. Records Disposition Control, GSA Form 439

CHAPTER 9. THE NATIONAL PERSONNEL RECORDS CENTER

PART 1. INTRODUCTION

1. Military and civilian personnel records. The National Personnel Records Center maintains personnel records of former members of the Armed Forces of the United States and the United States Coast Guard and of separated civilian employees of the Federal Government, as well as other designated records.

2. Separate center addresses. The military and civilian personnel records are housed at separate locations within metropolitan St. Louis, Missouri. (See figure 9-2). Organizationally, the former Military Personnel Records Center and the former Federal Records Center were merged into a single center named National Personnel Records Center. From an agency viewpoint, however, there are no changes in the locations, functions or services provided by the former centers. As an example, to insure prompt delivery of mail to action offices of the new center, the separate addresses remain unchanged as follows:

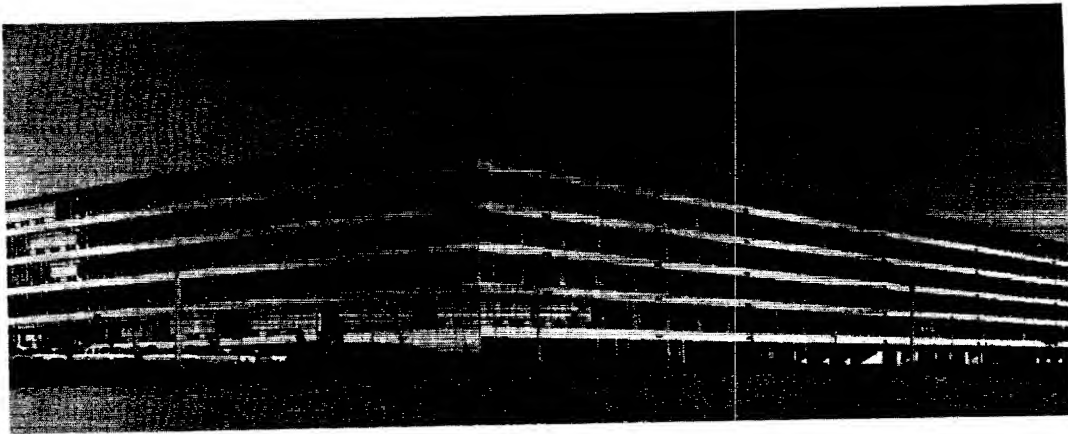
a. For the former Military Personnel Records Center:

National Personnel Records Center, GSA
(Military Personnel Records)
9700 Page Boulevard
St. Louis, Missouri 63132

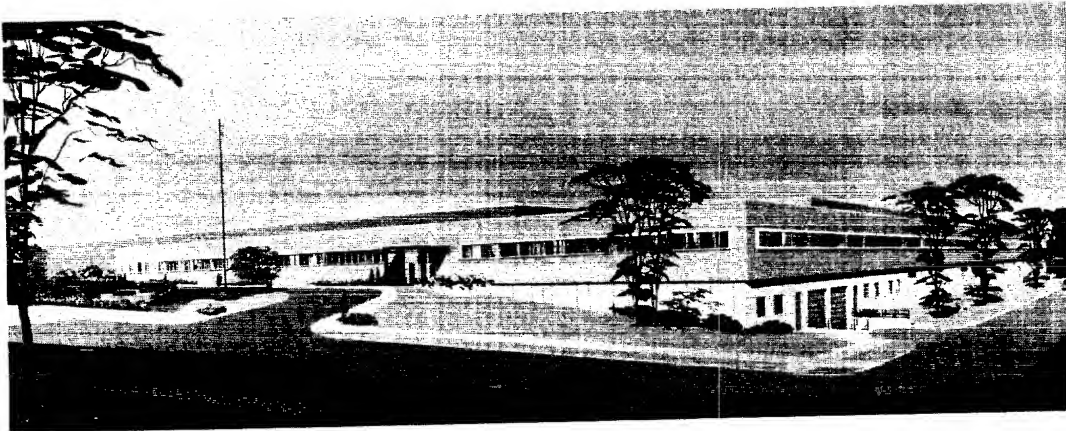
b. For the former Federal Records Center, St. Louis:

National Personnel Records Center, GSA
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, Missouri 63118

3. Separate center functions. The separate military and civilian records functions at the National Personnel Records Center are explained further in parts 2 and 3 of this chapter.



NATIONAL PERSONNEL RECORDS CENTER, GSA
(Military Personnel Records)
9700 Page Boulevard
St. Louis, Missouri 63132



NATIONAL PERSONNEL RECORDS CENTER, GSA
(Civilian Personnel Records)
111 Winnebago Street
St. Louis, Missouri 63118

Figure 9-2. Separate Locations of the National Personnel Records Center

PART 2. MILITARY PERSONNEL RECORDS

4. Categories of records. Records of separated military personnel, including the U. S. Coast Guard, and other designated records of components of the Department of Defense are retired to the National Personnel Records Center (Military Personnel Records). The primary center mission at this location is to store, service, and safeguard records of separated military personnel, officer and enlisted, and selected organizational, medical and other military records. Requests for military personnel records, other than those shown in figure 9-4, should be sent to the National Personnel Records Center.
5. Implementing instructions. Procedures for sending records to the National Personnel Records Center (MPR) are set forth in regulations of the Army, Navy, Marine Corps, Air Force, and Coast Guard. Likewise, loan of the records, granting access to them, furnishing information therefrom, and their disposition are governed by policies and procedures of the military components of the Department of Defense and the U. S. Coast Guard.
6. Reference service. In addition to serving the military components of the Department of Defense and Coast Guard, this center furnishes information on service and medical records affecting veteran benefits. This service is provided direct to veterans, to the Veterans Administration, and to other authorized users.
7. Facilitating reference service. The military personnel records in center custody consist of more than 30 million personnel and medical files of veterans who have served in the Army, Navy, Marine Corps, Air Force, and Coast Guard. To these are added on a continuing basis the records of personnel separated from these services. All but the most uncommon names are duplicated many times. Therefore, to aid in positive identification of the files of given individuals, requests for information should be submitted in writing and include as much as possible of the information needed to complete the blank spaces on NAR Form 581 (figure 9-7). Only urgent requests should be made by telephone, by personal visitor or by non-voice communications systems (e. g. , TWX; ARS).

GENERAL SERVICES ADMINISTRATION RESTRICTIONS ON RELEASE OF INFORMATION	
<p>The Military Departments have restrictions regarding the release of information from records of military personnel. A service person can obtain almost any information contained in his or her own record. The next of kin, if the veteran is deceased, and Federal offices for official purposes, are authorized to receive most types of information from a military service record. Other requesters must obtain written release consent from the service person or, if deceased, the next of kin. Employers and others needing proof of military service should accept, as authentic, the information shown on documents issued by the Armed Forces at the time service persons are separated.</p>	
<p>- - - CHARGES FOR SERVICE - - -</p> <p>Some services are subject to a charge of a nominal fee. In most instances the cost cannot be determined in advance. If a fee must be charged, you will be advised as soon as that determination is made.</p>	
<p>LOCATION OF MILITARY PERSONNEL RECORDS</p> <p>The following guide shows the location of military service records not at the National Personnel Records Center. If your request pertains to one of the categories listed below send your request to the address shown at the right of that category. <u>All military personnel records except those groups listed below are in the custody of the National Personnel Records Center in St. Louis (Address is shown below).</u></p> <p>IMPORTANT: If the individual has two or more periods of service within the same branch of service, send your request to the office having the records for the latest period.</p>	
BRANCH OF SERVICE - CATEGORY OF MILITARY PERSONNEL RECORDS	WHERE TO WRITE
AIR FORCE ALL RESERVE MEMBERS NOT ON EXTENDED ACTIVE DUTY ALL RETIRED RESERVISTS IN A NON-PAY STATUS ALL ACTIVE DUTY PERSONNEL ALL PERSONNEL ON THE TEMPORARY DISABILITY RETIRED LIST (TDRL) GENERAL OFFICERS IN A RETIRED (PAY) STATUS	AIR RESERVE PERSONNEL CENTER 3800 YORK STREET DENVER, COLORADO 80205 USAF, MILITARY PERSONNEL CENTER MILITARY PERSONNEL RECORDS DIVISION RANDOLPH AFB, TEXAS 78148
ARMY OFFICERS SEPARATED BEFORE JULY 1, 1917 ENLISTED PERSONNEL SEPARATED BEFORE NOVEMBER 1, 1912 ALL PERSONNEL SEPARATED ON OR AFTER JANUARY 1, 1960 ALL RETIRED PERSONNEL (EXCEPT GENERAL OFFICERS) ALL RESERVE MEMBERS (INCLUDES RETIRED RESERVISTS) ALL OFFICERS ON ACTIVE DUTY AND RETIRED GENERAL OFFICERS ENLISTED PERSONNEL ON ACTIVE DUTY	NATIONAL ARCHIVES AND RECORDS SERVICE NATIONAL ARCHIVES BUILDING WASHINGTON, D. C. 20408 HQS, DEPARTMENT OF THE ARMY OFFICE OF THE ADJUTANT GENERAL U. S. ARMY ADMINISTRATION CENTER 9700 PAGE BOULEVARD ST. LOUIS, MISSOURI 63132 PERSONNEL RECORDS DIVISION THE ADJUTANT GENERAL'S OFFICE DEPARTMENT OF THE ARMY WASHINGTON, D. C. 20310 U. S. ARMY PERSONNEL SERVICES SUPPORT CTR. FORT BENJAMIN HARRISON, INDIANA 46249
COAST GUARD ENLISTED PERSONNEL SEPARATED LESS THAN SIX MONTHS OFFICER PERSONNEL SEPARATED LESS THAN THREE MONTHS ALL ACTIVE COAST GUARD PERSONNEL AND MEMBERS OF THE RESERVE OFFICER PERSONNEL COMPLETELY SEPARATED BEFORE JANUARY 1, 1929	COMMANDANT U. S. COAST GUARD WASHINGTON, D. C. 20226
MARINE CORPS OFFICER PERSONNEL CURRENTLY MEMBER OF THE MARINE CORPS OR MARINE CORPS RESERVE ENLISTED PERSONNEL ON ACTIVE DUTY, OR IN THE ORGANIZED RESERVE CLASS 11 (ACTIVE RESERVES) OFFICER AND ENLISTED PERSONNEL COMPLETELY SEPARATED-FOUR MONTHS OR LESS SINCE COMPLETE SEPARATION	COMMANDANT OF THE MARINE CORPS HEADQUARTERS, U. S. MARINE CORPS WASHINGTON, D. C. 20380
NAVY OFFICERS ON ACTIVE DUTY AND THOSE SEPARATED LESS THAN ONE YEAR AND ALL OFFICERS WITH RANK OF ADMIRAL ENLISTED PERSONNEL ON ACTIVE DUTY AND THOSE SEPARATED LESS THAN 4 MONTHS ACTIVE RESERVISTS AND INACTIVE RESERVISTS WITH 18 OR MORE MONTHS REMAINING IN 1ST TERM OF ENLISTMENT	CHIEF OF NAVAL PERSONNEL DEPARTMENT OF THE NAVY WASHINGTON, D. C. 20370
BRANCHES IF YOUR REQUEST DOES NOT PERTAIN TO ANY OF THE CATEGORIES LISTED ABOVE, ADDRESS YOUR INQUIRY TO:	NATIONAL PERSONNEL RECORDS CENTER (Military Personnel Records) 9700 Page Boulevard St. Louis, Missouri 63132
<p>BE SURE TO INCLUDE AS MUCH OF THE INFORMATION REQUESTED ON THE REVERSE SIDE AS YOU CAN. THIS WILL RESULT IN YOUR RECEIVING THE BEST POSSIBLE SERVICE.</p>	

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Figure 9-4. Location of Military Personnel Records

GENERAL SERVICES ADMINISTRATION REQUEST FOR INFORMATION FROM MILITARY PERSONNEL RECORDS				DATE	
<i>Please read instructions on reverse side and furnish as much information as possible in the spaces provided below.</i>					
A. IDENTIFYING DATA (Complete on all requests)					
1. NAME USED IN SERVICE (Last, first, middle initial)		2. SERVICE NUMBER(S)		3. LAST GRADE, RATE OR RANK	
4. BRANCH OF SERVICE <input type="checkbox"/> MARINE CORPS <input type="checkbox"/> ARMY AIR FORCE (World War II) <input type="checkbox"/> ARMY <input type="checkbox"/> AIR FORCE <input type="checkbox"/> ARMY NATIONAL GUARD <input type="checkbox"/> AIR NATIONAL GUARD <input type="checkbox"/> NAVY <input type="checkbox"/> COAST GUARD		5. DATES OF SERVICE FROM _____ TO _____			
6. DATE OF BIRTH	7. PLACE OF BIRTH	8. SOCIAL SECURITY NUMBER		9. STATUS DURING PERIOD (Check one) <input type="checkbox"/> OFFICER <input type="checkbox"/> ENLISTED	
B. LIST ALL PERIODS OF ACTIVE MILITARY SERVICE PERFORMED AFTER THAT PERIOD SHOWN IN ITEM A-5. INCLUDE PRESENT PERIOD IF NOW ON ACTIVE DUTY OR IF NO ADDITIONAL SERVICE PERFORMED, CHECK HERE.					
BRANCH OF SERVICE	DATE OF ENTRY INTO ACTIVE DUTY	DATE OF RELEASE FROM ACTIVE DUTY	SERVICE NUMBER DURING THIS PERIOD	STATE WHETHER OFFICER OR ENLISTED	
C. LIST ALL PERIODS OF MILITARY RESERVE OR NATIONAL GUARD MEMBERSHIP DATING AFTER THAT PERIOD OF SERVICE SHOWN IN ITEM A-5. INCLUDE PRESENT PERIOD IF NOW A MEMBER. IF NONE, CHECK THIS BLOCK.					
BRANCH OF SERVICE (If National Guard show 'NG' after name of branch)	DATE MEMBERSHIP BEGAN	DATE MEMBERSHIP ENDED	SERVICE NUMBER DURING THIS PERIOD	STATE WHETHER OFFICER OR ENLISTED	
D. IS THE INDIVIDUAL A MILITARY RETIREE OR FLEET RESERVIST? NO <input type="checkbox"/> YES <input type="checkbox"/>		E. IS THE INDIVIDUAL DECEASED? NO <input type="checkbox"/> YES <input type="checkbox"/> (Show date of death)			
F. STATE CLEARLY WHAT YOU ARE REQUESTING AND THE PURPOSE FOR WHICH IT IS TO BE USED. (See reverse side regarding restrictions on release of information)					
G. REQUESTER IS (Check appropriate item) <input type="checkbox"/> FORMER SERVICE PERSON <input type="checkbox"/> SURVIVING SPOUSE <input type="checkbox"/> NEXT OF KIN (Show Relationship) <input type="checkbox"/> OTHER (Specify)			H. ADDRESS OF REQUESTER (Number or RFD, Street, City, State and Zip Code)		
I. CERTIFICATION: I certify that the above statements are true to the best of my knowledge.					
TYPED OR PRINTED NAME OF REQUESTER			SIGNATURE OF REQUESTER		
BE SURE YOU ADDRESS YOUR REQUEST TO THE PROPER OFFICE. (See guide on back of sheet)					

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Figure 9-7. Request for Information from Military Personnel Records

PART 3. CIVILIAN PERSONNEL RECORDS

8. Personnel and pay records. Personnel and pay records of separated civilian employees of the Federal Government are retired to the National Personnel Records Center (Civilian Personnel Records). Each Federal agency should transfer the following types of records:

a. Official personnel folders of separated employees and comparable files accumulated before official personnel folders, as such, were established;

b. Individual earnings cards (such as Standard Form 1127 or its equivalent), or comprehensive payrolls or individual pay folders; and

c. Service records cards dated on or before December 31, 1947.

9. Official personnel folders. The Federal Personnel Manual requires that, with minor exceptions, official personnel folders of persons who have been separated from the Federal Service for 30 days must be transferred without delay to the center address shown above for civilian personnel records. When an employee is separated the agency should take the following steps regarding his official personnel folder:

a. Remove it from the active files;

b. Examine the documents in it to ensure that the correct ones are filed on the right-hand side;

c. Remove and destroy the temporary material on the left-hand side;

d. Record the employee's date of birth and Social Security Number on the tab of the folder, for example: D. O. B. 10-16-19; SSN 455-10-3482;

e. File the folder in an inactive file, arranged chronologically by date of separation, or otherwise identified by date of separation; and

f. Screen the inactive file monthly at the beginning so that the folders of employees who have been separated may be transferred promptly. Be sure that the files being transferred are complete, that any recent documents have been included before transfer.

10. Package records securely. Unless the quantity of folders prohibits doing so, they may be placed in a penalty envelope for transmission by regular official mail. Use of standard FRC cartons is recommended for larger quantities. To help prevent loss or damage in transit, folders being mailed or shipped should be packaged securely.

11. Name list not required. Official personnel folders being retired to this center need not be listed by name since their transfer is noted on corresponding service record cards maintained in personnel offices, as required by the Federal Personnel Manual. This center does not acknowledge receipt of the individual folders it receives.

12. Interfiles. Before retiring official personnel folders, an agency should make every effort to complete the folders by locating any pertinent documents that are held elsewhere in its offices. If documents belonging in the retired folders are found later, complete identification of each employee (full name, date of birth, social security number, and date of separation) should be shown on each separate file item before being mailed to the center.

13. Industrial health records. Personnel offices can be of material assistance to medical offices holding industrial health records by informing them of a transfer of personnel records. The names of the individuals whose folders are being transferred should be given to the local medical office at least a week before shipment.

14. Request for civilian personnel folders. To request a personnel folder, use Standard Form 127, shown in figure 9-14. A separate form, in duplicate, should be submitted for each individual whose folder is requested. Only urgent or priority requests should be made by personal visit, by telephone or by non-voice communications, such as the Advanced Records System. A memorandum in lieu of Standard Form 127 should be used to request information from the folders.

15. Service record cards. Standards governing the transfer to this center of service record cards, or their equivalent, are stated in General Records Schedule No. 1, item 2. These cards are maintained in accordance with Federal Personnel Manual Supplement 293-31. This schedule calls for transfer of all cards for employees separated or transferred on or before December 31, 1947. Later cards should be destroyed by agencies 3 years after employee separation or transfer, and not sent to the center.

16. Fiscal records relating to pay. Agencies should also transfer to this center individual earning records, comprehensive payrolls, or individual pay folders containing earning records, as explained in General Records Schedule No. 2. Such records should be transferred 1 year after they have been audited, to provide data on service when official personnel folders are incomplete or missing. Use SF 135 for transferring earning records. Such records retired to this center are not merged with the official personnel folders, nor are they transferred to a subsequent hiring agency. Copies will be provided as needed, however.

17. General program records. Non-personnel records of agencies in the Greater St. Louis area (Missouri only) are accepted for storage and servicing at this center, as a matter of convenience and economy.

Standard Form 127 JULY 1967 EDITION General Services Administration FPMR (41 CFR) 101-11.4	REQUEST FOR OFFICIAL PERSONNEL FOLDER (SEPARATED EMPLOYEE)	1. DATE OF REQUEST
Section I—TO BE COMPLETED BY REQUESTING AGENCY		
2. CURRENT NAME (Last, first, middle)	2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY (If different than Item 2)	
NATIONAL PERSONNEL RECORDS CENTER, GSA (Civilian Personnel Records) 111 WINNEBAGO STREET ST. LOUIS, MISSOURI 63118		3. DATE OF BIRTH 4. SOCIAL SECURITY NUMBER
SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED Original will be used to send folder or reply to your agency. Duplicate will be used as charge-out record by the Records Center.		
5. PREVIOUS FEDERAL EMPLOYMENT		
AGENCY AND BUREAU	LOCATION	FROM TO
6. REASON FOR REQUEST (Check appropriate box)		
<input type="checkbox"/> a. Currently employed. <input type="checkbox"/> b. Temporary use. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.		
7. REMARKS		
Section II—FOR USE BY RECORDS CENTER		
8.		
<input type="checkbox"/> a. Folder enclosed.		
<input type="checkbox"/> b. Folder was sent to your agency on		
<input type="checkbox"/> c. Folder forwarded in place of information requested. Retain if person is rehired.		
<input type="checkbox"/> d. Folder not received. Suggest you contact last employing office.		
<input type="checkbox"/> e. Folder not located. Suggest further search in your agency. If still unlocated, verify correctness of name, and furnish date forwarded and several names of other folders in same shipment.		
Date:		Initials:
Section III—TO BE COMPLETED BY REQUESTING AGENCY		
Enter complete address to which folder or reply is to be mailed. Include ZIP Code.		

Figure 9-14. Request For Personnel Folder

CHAPTER 10. THE VITAL RECORDS DEPOSITORY

1. Underground depository. GSA maintains for the benefit of Federal agencies an underground depository having facilities adequate for the protection of emergency preparedness records. The depository, located in the central part of the United States, is operated as an annex of the Federal Records Center in Region 6 at Kansas City, Missouri (See figure 10-1). It is accessible to rail, motor, and air transportation. Air handling equipment controls temperature and humidity, providing a proper environment for safeguarding paper, film, and magnetic tape records. The fire controls system includes automatic sprinklers.
2. Vital records. Federal Property Management Regulations, Subpart 101-11. 701.5, defines two categories of vital records: (1) emergency operating records and (2) rights and interests records. The GSA Depository is designed primarily to accommodate rights and interests records, second or "insurance" copies of emergency operating records, and other records vital to the operation of the Federal Government. Agencies, however, may exercise an option in deciding whether this depository is a suitable site for housing copies of emergency operating records needed at relocation sites. The GSA Records Management Handbook entitled Protecting Vital Operating Records provides further clarification of the two basic categories of emergency preparedness records.
3. Arrangements for use of depository. Agency officials, in advance of transferring records, should obtain detailed information concerning availability and conditions of use of the GSA Vital Records Depository. This information may be obtained from:

Office of Federal Records Centers
National Archives and Records Service
General Services Administration
Washington, D. C. 20408

or

Regional Director, Region 6
National Archives and Records Service
General Services Administration
1500 East Bannister Road
Kansas City, Missouri 64131

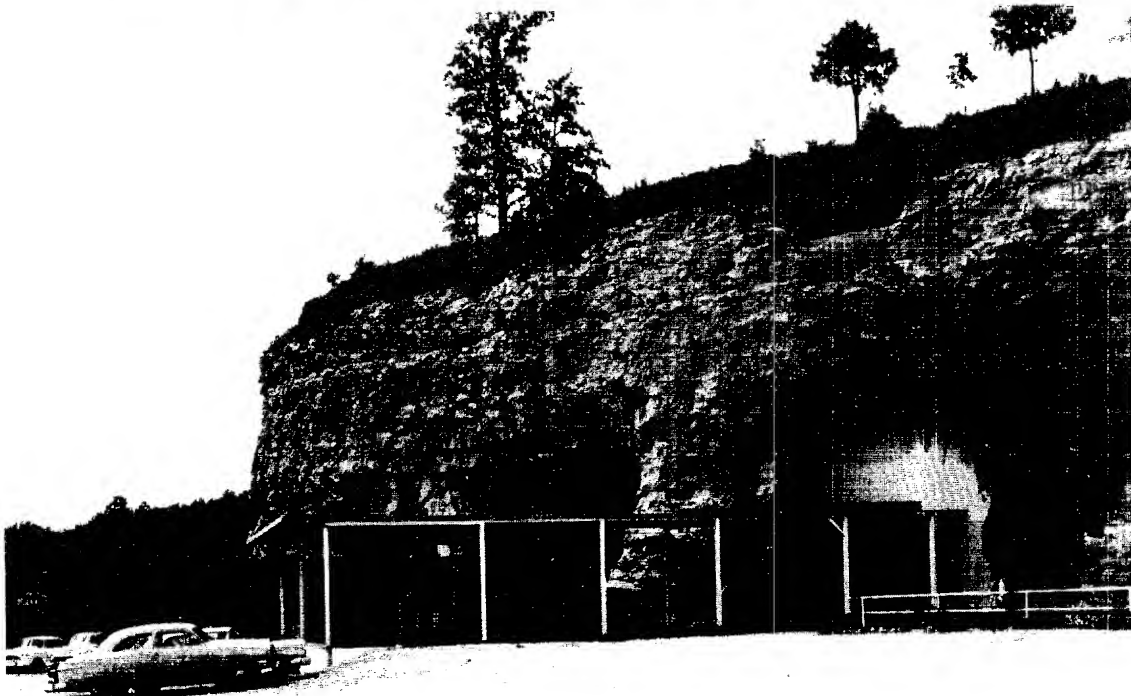
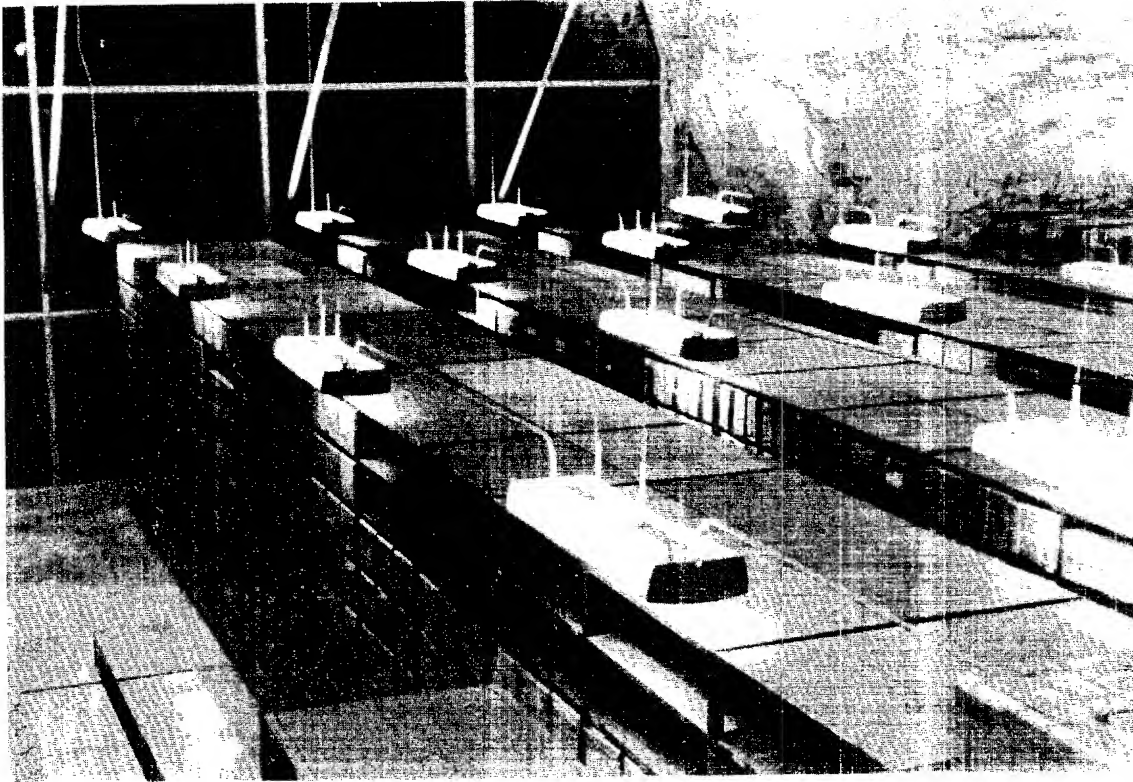


Figure 10-1. Underground Space Occupied by the Vital Records Depository, Interior and Exterior Views

CHECK LIST

The questions are so worded that check marks in the "NO" column indicate the need for corrective action.

	<u>NO</u>	<u>YES</u>
1. Has your agency designated a records management liaison officer with the General Services Administration in accordance with Federal Property Management Regulations (41 CFR 101-11. 102-6)?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all of the records of your agency covered by records disposition instructions?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do the records disposition instructions of your agency indicate what records should be transferred to Federal Records Centers, and when?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does your agency ensure that "record copies" of issuances and publications are made a part of the official files before the files are transferred to a Federal Records Center?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are "desk drawer files" or "personal collections" scrutinized for record material to be incorporated in official files before the files are transferred to a Federal Records Center?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does your agency utilize the knowledge and experience of staff members of the Federal Records Centers and the National Archives and Records Service in making transfers of records to those centers?	<input type="checkbox"/>	<input type="checkbox"/>
7. If your agency has been assigned for audit at the site, are the audited documents periodically transferred to a Federal Records Center in accordance with regulations of the General Accounting Office?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does your agency screen-out disposal materials before packing records for transfer to Federal Records Center?	<input type="checkbox"/>	<input type="checkbox"/>
9. Does your agency include finding aids in transfers of records?	<input type="checkbox"/>	<input type="checkbox"/>
10. Does your agency transfer only those records which are to be retained 3 years or more?	<input type="checkbox"/>	<input type="checkbox"/>
11. Does your agency document transfers to Federal Records Centers by use of Standard Form 135, Records Transmittal and Receipt?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix A - Agency use of Federal Records Centers (Check List)

- | | <u>NO</u> | <u>YES</u> |
|--|--------------------------|--------------------------|
| 12. When your agency requests reference service, does it give the Federal Records Center box number and accession number in the absence of other approved procedures? | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. Does your agency transfer to the National Personnel Records Center (CPR), St. Louis, official personnel folders of separated civilian employees promptly 30 days after separation? | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. Does your agency use Standard Form 127, Request for Official Personnel Folder, to request civilian personnel records from the National Personnel Records Center (CPR)? | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. Does your agency send earning records to the National Personnel Records Center (CPR) one year after they are audited? | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. Has your agency also transferred its Service Record Cards dated prior to January 1, 1948, to the National Personnel Records Center (CPR)? | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. Are telephone and teletype requests made only when urgent? | <input type="checkbox"/> | <input type="checkbox"/> |

Appendix A